

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                   |                                    |                 |            |
|-------------------|------------------------------------|-----------------|------------|
| Applicant:        | STAHMANN et al.                    | Examiner:       | Toth, K.   |
| Serial No.:       | 10/643,016                         | Group Art Unit: | 3735       |
| Filed:            | August 18, 2003                    | Docket No.:     | GUID.088PA |
| Confirmation No.: | 2956                               | Customer No.:   | 51294      |
| Title:            | PREDICTION OF DISORDERED BREATHING |                 |            |

---

**SUBMISSION UNDER 37 C.F.R. §3.73(b)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with 37 C.F.R. §3.73(b), the Applicant hereby submits the following:

- 1) a Statement under 37 C.F.R. §3.73(b);
- 2) a copy of an executed Power of Attorney to Prosecute Applications before the USPTO; and
- 3) a copy of the Notice of Recordation of Assignment Document recorded at Reel/Frame No. 014722/0855 for the above-identified patent application.

Although no fee is believed necessary with this submission, authorization is given to charge Deposit Account No. 50-3581 (GUID.088PA) any necessary fees. If there are any questions regarding this communication, please contact the undersigned attorney of record.

Respectfully submitted,

**HOLLINGSWORTH & FUNK, LLC**  
8009 34<sup>th</sup> Avenue South, Suite 125  
Minneapolis, MN 55425  
952.854.2700 (tel.)

By: /Clara Davis/  
Name: Clara Davis  
Reg. No.: 50,495

**POWER OF ATTORNEY TO PROSECUTE APPLICATIONS  
BEFORE THE USPTO**

I hereby revoke all previous powers of attorney given in the application identified in the attached statement under 37 CFR 3.73(b).

I hereby appoint:

|                   |                 |                       |                 |
|-------------------|-----------------|-----------------------|-----------------|
| Steven R. Funk    | Reg. No. 37,830 | Mark A. Hollingsworth | Reg. No. 38,491 |
| Clara Davis       | Reg. No. 50,495 | William Ashley        | Reg. No. 51,419 |
| Richard R. Clapp  | Reg. No. 31,751 | Tyler L. Nasiedlak    | Reg. No. 40,099 |
| Lori J. Heinrichs | Reg. No. 43,667 | Alana T. Bergman      | Reg. No. 47,420 |
| Jeffrey P. Cook   | Reg. No. 48,649 |                       |                 |

as attorney(s) or agent(s) to represent the undersigned before the United States Patent and Trademark Office (USPTO) in connection with any and all patent applications assigned only to the undersigned according to the USPTO assignment records or assignment documents attached to this form in accordance with 37 CFR 3.73(b).

The correspondence address for the application identified in the attached statement under 37 CFR 3.73(b) is:

HOLLINGSWORTH & FUNK, LLC  
8009 34<sup>th</sup> Avenue South, Suite 125  
Minneapolis, MN 55425

The Assignee Name and Address is listed below:

Cardiac Pacemakers, Inc.  
4100 Hamline Avenue North  
Saint Paul, Minnesota 55112

A copy of this form, together with a statement under 37 CFR 3.73(b) (Form PTO/SB/96 or equivalent) is required to be filed in each application in which this form is used. The statement under 37 CFR 3.73(b) may be completed by one of the practitioners appointed in this form if the appointed practitioner is authorized to act on behalf of the assignee, and must identify the application in which this Power of Attorney is to be filed.

Signatures of Assignee of Record (the individual whose signature and title is supplied below is authorized to act on behalf of the assignee)

Signature

RICHARD R. CLAPP

Name

ASST. SECRETARY

Title

651 582-4400

Telephone

08DECUS

Date



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JUNE 14, 2004

PTAS



\*102609658A\*

CRAWFORD MAUNU PLLC  
MARK A. HOLLINGSWORTH  
1270 NORTHLAND DRIVE  
SUITE 390  
ST. PAUL, MN 55120

### UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/24/2003

REEL/FRAME: 014722/0855

NUMBER OF PAGES: 6

✓ BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: GUID.088PA

ASSIGNOR:

STAHMANN, JEFFREY E.

DOC DATE: 10/06/2003

ASSIGNOR:

HATLESTAD, JOHN D.

DOC DATE: 10/10/2003

ASSIGNOR:

NI, QUAN

DOC DATE: 10/12/2003

ASSIGNOR:

HARTLEY, JESSE

DOC DATE: 10/07/2003

ASSIGNOR:

DAUM, DOUGLAS R.

DOC DATE: 10/07/2003

ASSIGNOR:

LEE, KENT

DOC DATE: 10/06/2003

014722/0855 PAGE 2

✓ ASSIGNEE:

CARDIAC PACEMAKERS, INC.  
4100 HAMLINE AVENUE NORTH  
SAINT PAUL, MINNESOTA 55112-5798

✓ SERIAL NUMBER: 10643016

FILING DATE: 08/18/2003

PATENT NUMBER:

ISSUE DATE:

TITLE: PREDICTION OF DISORDERED BREATHING

MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

RE

11-26-2003



102609658

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

11.24.03

To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Jeffrey E. STAHMANN  
John D. HATLESTAD  
Quan NI  
Jesse HARTLEY  
Douglas R. DAUM  
Kent LEE

## 2. Name and address of receiving party(ies):

Cardiac Pacemakers, Inc.  
4100 Hamline Avenue North  
Saint Paul, MN 55112-5798

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ NoAdditional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date(s): October 6, 2003; October 10, 2003; October 12, 2003; October 7, 2003; October 7, 2003; and October 6, 2003

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the filing date of the application is:

## A. Patent Application No.(s)

## B. Patent No.(s)

10/643,016 filed August 18, 2003

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Mark A. Hollingsworth  
Address: CRAWFORD MAUNU PLLC  
1270 Northland Drive  
Suite 390  
St. Paul, MN 55120

## 6. Total number of applications and patents involved: 1

## 7. Total fee (37 CFR 3.41): \$40

☒ Authorized to be charged to deposit account 50-0996 (GUID.088PA).

DO NOT USE THIS SPACE

## 9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Mark A. Hollingsworth

Name of Person Signing

Signature

11/20/03

Date

Total number of pages including cover sheet, attachments, and document: 6

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Director of the U.S. Patent and Trademark Office  
Mail Stop Assignment Recordation Services  
P.O. Box 1450  
Alexandria, VA 2213-1450

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of information systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011), Washington, D.C. 20503.

11/25/2003 GT0N11 00000057 500996 10643016

01 FC:8021 40.00 DA

### ASSIGNMENT

WHEREAS, I/we: Jeffrey E. Stahmann, residing at 4859 154th Lane NW, Ramsey, Minnesota 55303; John D. Hatlestad, residing at 2044 Edgerton Street, Maplewood, Minnesota 55117; Quan Ni, residing at 5812 Prairie Ridge Drive, Shoreview, Minnesota 55126; Jesse Hartley, residing at 339 Linda Court, Lino Lakes, Minnesota 55014; Douglas R. Daum, residing at 7050 23rd St. North, Oakdale, Minnesota 55128; and Kent Lee, residing at 176 Christenson Ct., Fridley, Minnesota 55432, made certain new and useful inventions and improvements for which I/we herewith file an application for Letters Patent of the United States, which is entitled **PREDICTION OF DISORDERED BREATHING**, which was filed on August 18, 2003, and was assigned U.S. Patent Application Serial No. 10/643,016 (Atty. Docket No. GUID.088PA).

AND WHEREAS, Cardiac Pacemakers, Inc., a corporation organized and existing under and by virtue of the laws of the State of Minnesota, and having an office and place of business at 4100 Hamline Avenue North, St. Paul, MN 55112 (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW THEREFORE, to all whom it may concern, be it known that for and in consideration of the sum of One Dollar and other good and valuable considerations, the receipt and sufficiency whereof is hereby acknowledged, I/we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the application, all divisions, continuations, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and I/we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the Assignee, its successors and assigns.

AND, for the consideration aforesaid, I/we do hereby agree that I/we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to me/us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things

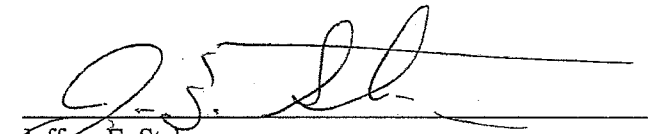
which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore I/we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me/us and that full right to convey the same as herein expressed is possessed by me/us.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 6 day of

~~September~~, 2003.

*October*

  
Jeffrey E. Stahmann

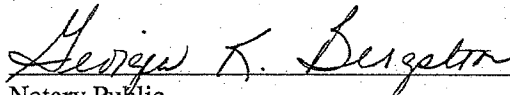
STATE OF MN )  
COUNTY OF Ramsey ) ss.

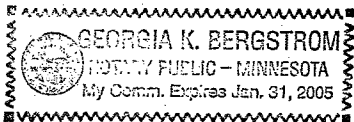
*HCB*

On this 6 day of ~~September~~ *October*, 2003, before me personally appeared Jeffrey E.

Stahmann, known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]

  
Notary Public



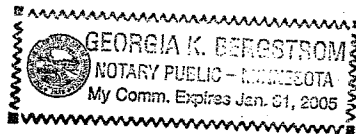
~~SDH~~ October  
~~September~~, 2003. IN TESTIMONY WHEREOF, I have hereunto set my hand this 10<sup>th</sup> day of

John D. Hatlestad  
John D. Hatlestad

STATE OF Mn )  
 ) ss.  
COUNTY OF Ramsey )

On this 10 day of October ~~September~~, 2003, before me personally appeared John D. Hatlestad, known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]



Georgia K. Bergstrom  
Notary Public

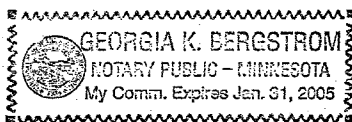
QN October  
~~September~~, 2003. IN TESTIMONY WHEREOF, I have hereunto set my hand this 12<sup>th</sup> day of

Quan Ni  
Quan Ni

STATE OF Mn )  
 ) ss.  
COUNTY OF Ramsey )

On this 12 day of October ~~September~~, 2003, before me personally appeared Quan Ni, known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

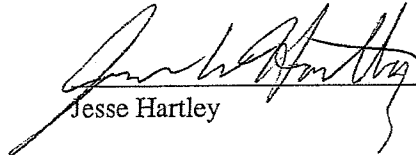
[SEAL]



Georgia K. Bergstrom  
Notary Public



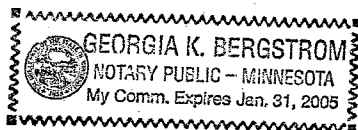
IN TESTIMONY WHEREOF, I have hereunto set my hand this 7 day of ~~September~~ <sup>October</sup>, 2003.

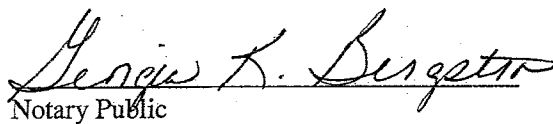
  
Jesse Hartley

STATE OF Mn )  
 ) ss.  
COUNTY OF Ramsey )

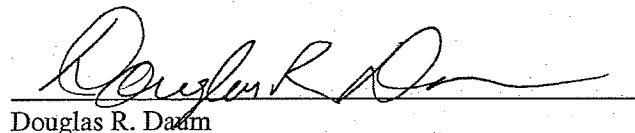
On this 7 day of ~~September~~ <sup>October</sup>, 2003, before me personally appeared Jesse Hartley, known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]



  
Notary Public

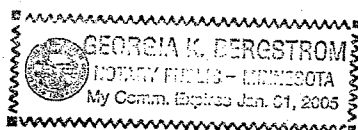
~~DD~~ IN TESTIMONY WHEREOF, I have hereunto set my hand this 7 day of ~~September~~ <sup>October</sup>, 2003.

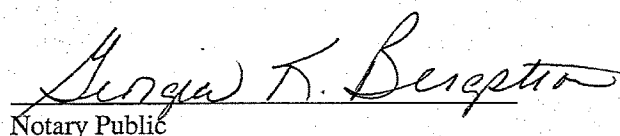
  
Douglas R. Daum

STATE OF Mn )  
 ) ss.  
COUNTY OF Ramsey )

On this 7 day of ~~September~~ <sup>October</sup>, 2003, before me personally appeared Douglas R. Daum, known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]



  
Notary Public

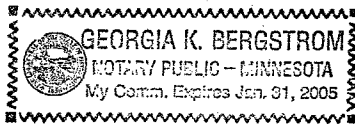
~~October~~ <sup>1st</sup> IN TESTIMONY WHEREOF, I have hereunto set my hand this 6 day of  
September, 2003.

Kent Lee  
Kent Lee

STATE OF Ma )  
COUNTY OF Ramsey ) ss.

On this 6 day of ~~September~~ <sup>October</sup>, 2003, before me personally appeared Kent Lee, known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]



Georgia K. Bergstrom  
Notary Public